

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)
Jennifer Mead, et al.) Attn: Box Missing Parts
Serial No. 09/255,737)
Filed: February 23, 1999) Atty. Dkt. No. 03797.77744

For: **SYSTEM AND METHOD FOR PROVIDING
AUTOMATED INVESTMENT ALERTS
FROM MULTIPLE DATA SOURCES**

SUBMISSION OF EXECUTED DECLARATION AND FEES

The Assistant Commissioner
for Patents
Washington, D.C. 20231

Sir:

Attached is the executed Declaration for Patent Application in compliance with the Notice to File Missing Parts of Application (copy enclosed) mailed March 17, 1999. Accordingly, it is respectfully submitted that this application is entitled to a filing date of February 23, 1999, the date upon which the specification and drawings were received by the U.S. Patent and Trademark Office.

A check covering the amount of \$1016.00 is attached for the application filing fee. The calculation is as follows:

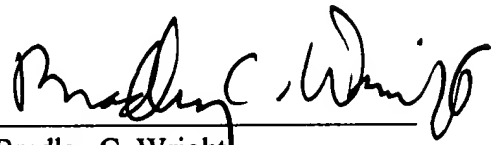
Basic Fee (total claims = 27)	\$760.00
Total Claims in Excess (7)	\$126.00
Surcharge for subsequent filing of executed Declaration	\$130.00
TOTAL FILING FEE	\$1,016.00

In the event any variance exists between the amount enclosed and the Patent Office charges,
please charge or credit any difference to our Deposit Account No. 19-0733.

Respectfully submitted,

Date: June 17, 1999

By:



Bradley C. Wright
Registration No. 38,061

Banner & Witcoff, Ltd.
1001 G Street, N.W., Eleventh Floor
Washington, D.C. 20001-4597
(202) 508-9100

BCW/pb

DECLARATION /POWER OF ATTORNEY FOR PATENT APPLICATION
JOINT INVENTORS

As the named inventors, we hereby declare:

Our residences, post office addresses and citizenships are as stated next to our names below:

We believe that we are the original, first and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled SYSTEM AND METHOD FOR PROVIDING AUTOMATED INVESTMENT ALERTS FROM MULTIPLE DATA SOURCES, the specification of which

☐ is attached hereto.

☒ was filed on February 23, 1999 as application serial no. 09/255,737.

We hereby state that we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulation, § 1.56.

Prior Foreign Applications

We hereby claim priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below. We have also identified below any foreign application(s) for patent or inventor's certificate having a filing date before that of the application on which priority is based.

Country	Application Number	Date of Filing (day, month, year)	Date of Issue (day, month, year)	Priority Claimed Under 35 U.S.C. § 119
				Yes <input type="checkbox"/> No <input type="checkbox"/>
				Yes <input type="checkbox"/> No <input type="checkbox"/>

Prior United States Application(s)

We hereby claim the benefit under Title 35 United States Code, § 120 of any United States patent application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, we acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulation, § 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial Number	Date of Filing (day, month, year)	Status — Patented, Pending, Abandoned

Power of Attorney

And we hereby appoint, both jointly and severally, as our attorneys with full power of substitution and revocation, to prosecute this application and transact all business in the U.S. Patent and Trademark Office connected herewith as well as before any office or agency of a foreign country or any international organization in connection with any foreign counterpart application claiming priority to this application, including the power to appoint agents and local representatives in connection with such foreign applications, the following attorneys of Banner & Witcoff, their registration numbers being listed after their names:

Robert F. Altherr	Reg. No. 31,810	Timothy C. Meece	Reg. No. 38,553
Donald W. Banner	Reg. No. 17,037	Frederic M. Meeker	Reg. No. 35,282
Mark T. Banner	Reg. No. 29,888	Jon O. Nelson	Reg. No. 24,566
Pamela I. Banner	Reg. No. 33,644	James A. Niegowski	Reg. No. 28,331
James V. Callahan	Reg. No. 20,095	Thomas L. Peterson	Reg. No. 30,969
Alan I. Cantor	Reg. No. 28,163	Joseph M. Potenza	Reg. No. 28,175
Marc S. Cooperman	Reg. No. 34,143	Thomas K. Pratt	Reg. No. 37,210
Gary D. Fedorochko	Reg. No. 35,509	Christopher J. Renk	Reg. No. 33,761
Daniel E. Fisher	Reg. No. 34,162	Robert H. Resis	Reg. No. 32,168
William J. Fisher	Reg. No. 32,133	Steven P. Schad	Reg. No. 32,550
Patricia E. Hong	Reg. No. 34,373	Michael H. Shanahan	Reg. No. 24,438
Dale H. Hoscheit	Reg. No. 19,090	Charles W. Shifley	Reg. No. 28,042
John P. Iwanicki	Reg. No. 34,628	Joseph M. Skerpon	Reg. No. 29,864
Thomas H. Jackson	Reg. No. 29,808	J. Pieter Van Es	Reg. No. 37,746
Sarah A. Kagan	Reg. No. 32,141	Kathleen M. Williams	Reg. No. 34,380
Robert S. Katz	Reg. No. 36,402	Susan A. Wolffe	Reg. No. 33,568
Ernest V. Linek	Reg. No. 29,822	Bradley C. Wright	Reg. No. 38,061
Peter D. McDermott	Reg. No. 29,411	Katie E. Sako	Reg. No. 32,628
Christopher L. McKee	Reg. No. 32,384	Daniel D. Crouse	Reg. No. 32,022
Nina L. Medlock	Reg. No. 29,673		

All correspondence and telephone communications should be addressed to:

Banner & Witcoff
1001 G Street, N.W., Suite 1100
Washington, D.C. 20001-4597
telephone number (202) 508-9100.

We hereby declare that all statements made herein of our own knowledge are true and that all statements made on information knowledge and belief are believed to be true; and further that these were made with the knowledge that false statements made willfully are punishable by fine, imprisonment, or both a fine and imprisonment under Section 1001 of Title 18 of the United States; and further that false statements made willfully may jeopardize the validity of any patent issuing on an application in which the false statements were made.

Full Name of
1st Inventor MEAD Jennifer Ruth
Family Name First Given Name Second Given Name

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Citizenship U.S.

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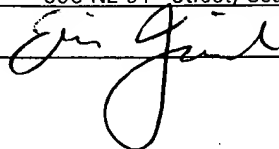
Signature Jennifer Mead Date 5/29/99

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2nd Inventor ZINDA Erik C
Family Name First Given Name Second Given Name

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Citizenship U.S.

Post Office
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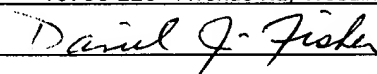
Signature  Date 6/16/99

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Family Name First Given Name Second Given Name

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Citizenship U.S.

Post Office
Address 15703 223rd Avenue NE, Woodinville, Washington 98072

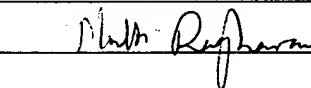
Signature  Date 5/21/99

Full Name of
4th Inventor RAGHAVAN Malti
Family Name First Given Name Second Given Name

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Citizenship India

Post Office
Address 14320 NE 84th Court, Redmond, WA 98052

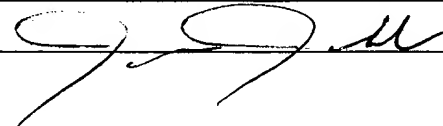
Signature  Date 5/21/99

Full Name of
5th Inventor JUBAK James
Family Name First Given Name Second Given Name

Residence 895 West End Avenue, #3D, New York, New York 10025

Citizenship U.S.

Post Office
Address 895 West End Avenue, #3D, New York, New York 10025

Signature  Date 5/20/99



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
09/255,737	02/23/99	MEAD	3797.77744

BRADLEY C WRIGHT
BANNER & WITCOFF
1001 G STREET N W
WASHINGTON DC 20001-4597

0222/0317

17M91999

NOT ASSIGNED

DATE MAILED:

03/17/99

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☐ non-small entity is \$ 1016.

☒ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$ 760 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ 126 for 7 total claims over 20.

\$ _____ for _____ independent claims over 3.

\$ _____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER: _____

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of)
Jennifer Mead, et al.) Attn: Box Missing Parts
Serial No. 09/255,737)
Filed: February 23, 1999) Atty. Dkt. No. 03797.77744

For: **SYSTEM AND METHOD FOR PROVIDING
AUTOMATED INVESTMENT ALERTS
FROM MULTIPLE DATA SOURCES**

PETITION FOR EXTENSION OF TIME

The Assistant Commissioner
for Patents
Washington, D.C. 20231

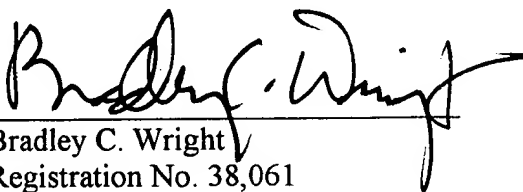
Sir:

We respectfully request a one month extension of time to file the required items in response to the Notice to File Missing Parts of Application (copy enclosed) mailed March 17, 1999. A check covering the amount of \$110.00 is attached for the extension fee.

In the event any variance exists between the amount enclosed and the Patent Office charges, please charge or credit any difference to our Deposit Account No. 19-0733.

Respectfully submitted,

Date: June 17, 1999

By: 
Bradley C. Wright
Registration No. 38,061

Banner & Witcoff, Ltd.
1001 G Street, N.W., Eleventh Floor
Washington, D.C. 20001-4597
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MAY 05 2006
GROUP 3600

Patent/Design

☐ HAND CARRY Group/Section _____

☒ PATENT ☐ DESIGN

Bldg _____ Rm _____

Serial No. 09/255,737 B&W # 3797.77744 Atty/Sec PIB/Bcw/ph Date 6/17/99

Inventor Jennifer Mead, et al Client Microsoft

Title System And Method For Providing Automated... Data Sources

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- ☐ total pp Spec., including : # of Claims _____ ☐ Claim for Priority w/Priority Doc _____
(# of independent claims _____); ☐ Abstract _____ Country, Appl. # and Date _____
- ☐ Foreign Priority on _____ ☒ Petition for Extension til 6-17-99
Country, Appl. # and Date _____ ☐ Amendment ☐ Response : OA dtd _____
- ☐ Priority on U.S. Prov. _____ B&W# _____ ☐ Request for Approval of Drawing Changes _____
- ☐ Application : ☐ CIP ☐ Continuation ☐ Divisional ☒ PPA Request ☐ w/Ext of Time : OA dtd _____
Parent Ser. No. _____ B&W# _____ ☐ Notice of Appeal & Fee _____
- ☐ Provisional App _____ pp Spec/Cims; Cover Sheet ☐ Brief : ☐ Appeal & Fee ☐ Reply _____
- ☒ Declaration/PoA : ☒ Executed ☐ Unexecuted ☐ Request for Oral Hearing _____
- ☐ Drawings : ☐ Formal ☐ Informal ☐ Issue Fee : Allowance dtd _____
of distinct sheets _____ : Figs. _____ ☐ Advance Patent Copies : # ordered _____
- ☐ Assignment w/PTO Cover Sheet ☒ Check # 141140 for \$ 110.00
- ☐ Small Entity Declaration ☒ Check # 141118 for \$ 1,016.00
- ☐ IDS w/PTO 1449 ☐ Prior Art ☐ w/fee _____
- ☐ Preliminary Amendment _____
- ☒ Response : Missing Parts dtd 3-17-99 JUN 17 1999
- ☐ Request for Expedited Foreign Filing License _____
- ☐ Request for Corrected Filing Receipt _____

B&W Rev. 4/98